

Applicant or Patentee: Yu-Hwa Lo, Felix Ejeckan and Zuhua Zua
Serial or Patent No.:

Attorney's
Docket No.: NOR-9

Filed or Issued: February 10, 1999

Title: METHOD AND DESIGN OF EPITAXIAL LAYER AND SUBSTRATE STRUCTURES FOR HIGH-QUALITY EPITAXIAL GROWTH OF LATTICE-MISMATCHED SUBSTRATES

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(c)) -- SMALL BUSINESS CONCERN

I hereby declare that I am:

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN: Nova Crystals, Inc.
ADDRESS OF SMALL BUSINESS CONCERN: 30 Brown Road, Ithaca, New York 14850

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled: METHOD AND DESIGN OF EPITAXIAL LAYER AND SUBSTRATE STRUCTURES FOR HIGH-QUALITY EPITAXIAL GROWTH OF LATTICE-MISMATCHED SUBSTRATES, by inventor(s) Yu-Hwa Lo, Felix Ejeckam and Zuhua Zua described in

- ☒ the specification filed herewith
☐ application serial no. , filed
☐ patent no. , issued

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

**NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)*

NAME:

ADDRESS:

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28 (b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, and patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Felix Ejeckam

TITLE OF PERSON IF OTHER THAN OWNER CEO

ADDRESS OF PERSON SIGNING 30 Brown Road, Ithaca, NY 14850

SIGNATURE



DATE

2/10/99

60723 E F H 60